



RECORDS RETENTION AND DISPOSITION SCHEDULE

Family And Social Services Administration. General Counsel, Office of.

Agency: General Counsel, Office of		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD
1	2003-07	CLOSED INVESTIGATIVE FILES An investigative file is opened after someone has made an allegation of fraud against clients of TANF (Temporary Assistance to Needy Families), Food Stamps, Medicaid, IMPACT (Indiana Manpower Placement and Comprehensive Training), and CCDF (Child Care Development Fund). Typical files contain extensive notes, correspondence, narratives, client financial information, Social Security numbers, medical data and other extensive documentation used to determine if the case is substantiated. A case is closed when the investigation results show the fraud charge was accurate (substantiated), or inaccurate or the available information did not confirm the fraud allegation (unsubstantiated). Files are arranged by calendar year, then alphabetically by client last name .Disclosure of these records may be affected by IC 5-14-3-4(a)(1)(2)(3) and (9), IC 5-14-3-4(b) (2), and 42 USC 405(c)(2)(C)(viii), I through IV. Retention based on IC 34-11-2-7(4).	TRANSFER to the RECORDS CENTER after case closure. DESTROY six (6) years in the RECORDS CENTER.
2	84-288	APPEAL DECISIONS FILE According to IC 12-13-2-3(1), an aggrieved individual has the right to appeal an adverse determination made by the Indiana Family and Social Services Administration . Retention based on 45 CFR 164.530(j)(2). Files include a request for an appeal, notice of hearing, any administrative decision, evidence documents, and other correspondence. File may include a hearing transcript if applicable.	TRANSFER to the RECORDS after the appeals process has been exhausted. DESTROY six (6) years in the RECORDS CENTER.
3	90-142	LITIGATION FILES File includes all correspondence and pleadings relative to a given case and may include a transcript. This is an exception to GRLEG-1 on the General Retention Schedule, due to agency storage needs. Disclosure of these records may be affected by IC 5-14-3-4(b).	TRANSFER to the RECORDS CENTER after the dismissal of the complaint, or after all criteria of the final decision/settlement are met, whichever is later. TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional five (5) years in the RECORDS CENTER.
4	2019-29	COURT ORDERED TREATMENT OR COMMITMENT, AND INTERSTATE COMPACT FILES Records on individuals ordered by the court to receive examination and/or treatment for mental illness or substance abuse issues, whether as an initial order, or pursuant to a verdict of Not Guilty By Reason of Insanity, or individuals transferred between a State Operated Facility in Indiana and a State Operated Facility in another state. Files may include criminal history, doctor's evaluations, and treatment records from State Operated Facilities, Community Mental Health Centers, the Division of Mental Health and addiction, and the Indiana Department of Correction, and are also available at the court of record, at the relevant treatment facilities, and in the DMHA or DOC as applicable. Disclosure of these records may be affected by IC 16-39-2.	TRANSFER to the RECORDS CENTER after individual has been discharged from a State Psychiatric Hospital with no re-commitments for ten (10) years. RECALL file from the RECORDS CENTER to agency upon any additional activity. RE-START agency retention period of discharge plus 10 years, transferring to the RECORDS CENTER in a new box when file is once again eligible for transfer.DESTROY boxes in the RECORDS CENTER ten (10) years after transfer.